



PC27977A  
Information Disclosure Statement For Appln. No. 10/804,295

Certificate of Mailing (37 C.F.R. § 1.8):

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s/

Julie Agozino

1PW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:  
**STEVEN P. TANIS, ET AL**

Serial No.: 10/804,295

Confirmation No.: 7830

Filed: March 19, 2004

For: **PROCESS TO PRODUCE  
ENANTIOMERICALLY ENRICHED  
ALCOHOLS AND AMINES**

Group Art Unit: 1621

Examiner: Not Yet Assigned

Honorable Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

**UNDER 37 C.F.R. § 1.97(b) or 1.97(c)**

**37 CFR § 1.97(b)**

- ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

**37 CFR § 1.97(c)**

- ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of (1) a Final Action under § 1.113; (2) a Notice of Allowance under § 1.311; or (3) an action that otherwise closes prosecution in the application. The Commissioner is hereby authorized to charge the fee as set forth in § 1.17(p) to Deposit Account Number 500329.



- ☐ Applicant requests that the Examiner consider the following copending applications:

Application Serial No.	Filing Date

- ☐ Copies of these copending applications are enclosed.
- ☒ Applicant hereby requests consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith. Copies of the cited references, except as noted below, are enclosed.
- ☐ This application is a continuation, divisional or continuation-in-part of Serial No. [REDACTED]. Copies of the cited references, if not enclosed, are available in the file of the parent application or parents thereof.
- ☒ This application was filed after June 30, 2003, or entered U.S. national stage under 35 U.S.C. § 371, after June 30, 2003. Copies of U.S. Patents and U.S. Patent Application Publications are not enclosed. (1276 OG 55).
- ☐ Applicant hereby requests consideration of the enclosed International Search Report, which was received in a related international patent application.

The Commissioner is hereby authorized to charge any fee deficiency, including any fee required under 37 C.F.R. § 1.17(p), or credit any overpayment, to Deposit Account Number 500329. A duplicate copy of this form is enclosed.

Respectfully submitted,

Date: Feb. 23, 2005

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Substitute for form 1449/PTO

**Complete if Known**

Application Number	10/804,295
Filing Date	March 19, 2004
First Named Inventor	Steven P. Tanis
Art Unit	1621
Examiner Name	TBA
Attorney Docket Number	PC27977A

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number-Kind Code <sup>2</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	AA	WO 2004/014551	02-19-2004	Johnson Matthey PLC		
	AB	WO 2004/085058	10-07-2004	Tanis, Steven P.		

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AC	NOYORI, R., et al., "Ruthenium(II)-Catalyzed Asymmetric Transfer Hydrogenation Of Ketones Using A Formic Acid-Triethylamine Mixture," 1996, J. Am. Chem. Soc., 2521-2522, vol. 118.	
	AD	NOYORI, R., et al., "The Catalyst Precursor, Catalyst, And Intermediate In The Ru <sup>II</sup> -Promoted Asymmetric Hydrogen Transfer Between Alcohols And Ketones," 1997, Angew. Chem. Int. Ed. Engl., 285-288, vol. 36, no. 3.	

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.